



PATENT APPLICATION  
Docket No: 15436.249.9.3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Ping Xie et al

Serial No.: 10/661,991

Filing Date: September 11, 2003

For: **OPTICAL FILTER FOR WAVELENGTH DIVISION MULTIPLEXED OPTICAL SIGNALS**

**CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8**

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, PO Box 1450, Arlington, Virginia 22313-1450, on the 12<sup>th</sup> day of February 2004.

- Transmittal for Information Disclosure Statement (2 pages dup.)
- Information Disclosure Statement (2 pages)
- Form PTO-1449 listing 14 reference (2 pages)
- A copy of each of the references list on the Form PTO-1449
- Postcard

Respectfully submitted,

Peter F. Malen, Jr.  
Attorney for Applicant  
Registration No. 45,576

022913

**PATENT TRADEMARK OFFICE  
CUSTOMER NUMBER**

WORKMAN NYDEGGER  
1000 Eagle Gate Tower  
60 East South Temple  
Salt Lake City, Utah 84111  
Telephone: (801) 533-9800  
Facsimile: (801) 328-1707

PFM/jw  
W:\15436249.9.3\JLW0000000730\001.DOC

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15436.249.9.3

In Re Application Of: Ping Xie et al

Serial No.	Filing Date	Examiner	Group Art Unit
10/661,991	September 11, 2003	Unknown	2811

Title: OPTICAL FILTER FOR WAVELENGTH DIVISION

MULTIPLEXED OPTICAL SIGNALS

FEB 19 2004

Address to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

- The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

- The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
  - the statement specified in 37 CFR 1.97(e);

**OR**

- the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15436.249.9.3

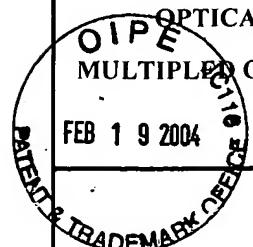
In Re Application: Ping Xie et al

Serial No.  
10/661,991

Filing Date  
September 11, 2003

Examiner  
Unknown

Group Art Unit  
2811



OPTICAL FILTER FOR WAVELENGTH DIVISION  
MULTIPLEXED OPTICAL SIGNALS

FEB 19 2004

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

A check in the amount of \_\_\_\_\_ is attached.  
 The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.  
 Charge the amount of \_\_\_\_\_  
 Credit any overpayment.  
 Charge any additional fee required.

Certificate of Transmission by Facsimile\*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:

\_\_\_\_\_  
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

\*This certificate may only be used if paying by deposit account.

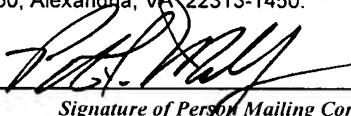
  
Signature

Peter F. Malen, Jr.

Attorney for Applicant  
Reg No.: 45,576

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on February 12, 2004 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Signature of Person Mailing Correspondence

Peter F. Malen, Jr.

Typed or Printed Name of Person Mailing Certificate

Dated: February 12, 2004

CC:



PATENT APPLICATION  
Docket No: 15436.249.9.3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )

Ping Xie et al )

Serial No.: 10/661,991 )

) Art Unit  
2811

Filing Date: September 11, 2003 )

)

For: OPTICAL FILTER FOR WAVELENGTH )  
DIVISION MULTIPLED OPTICAL SIGNALS )

)

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
PO Box 1450  
Arlington, Virginia 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

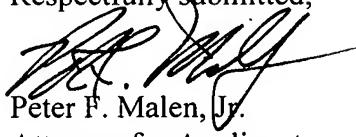
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Dated this 12<sup>th</sup> day of February 2004.



Respectfully submitted,

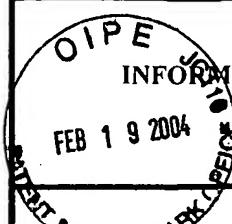
  
Peter F. Malen, Jr.  
Attorney for Applicant  
Registration No. 45,576

WORKMAN NYDEGGER  
1000 Eagle Gate Tower  
60 East South Temple  
Salt Lake City, Utah 84111  
Telephone: (801) 533-9800

PFM/jw  
W:\15436\249.9.3\JLW000000730\001.DOC

**022913**

**PATENT TRADEMARK OFFICE  
CUSTOMER NUMBER**



INFORMATION DISCLOSURE CITATION  
(Use several sheets if necessary)

Docket Number (Optional) 115436.249.9.3	Application Number 10/661,991
Applicant(s) Ping Xie, et al	
Filing Date September 11, 2003	Group Art Unit 2811

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1.	4,094,581	6/13/78	Baldwin et al	350	150	
	2.	4,685,773	08/11/87	Carlsen et al	350	401	
	3.	4,813,761	03/21/89	Davis et al	350	162.15	
	4.	4,987,567	01/22/91	Buhrer	370	3	
	5.	5,596,661	01/21/97	Henry et al	385	24	
	6.	5,606,439	02/25/97	Wu	349	117	
	7.	5,694,205	12/02/97	Gualtieri et al	356	33	
	8.	5,694,233	12/02/97	Wu et al	359	117	
	9.	5,724,165	03/03/98	Wu	359	117	
	10.	5,867,291	02/02/99	Wu et al	359	124	
	11.	6,005,697	12/21/99	Wu et al	359	117	

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO. 15436.249.9.3		SERIAL NO. 10/661,991		
				Xie et al		FILING September 11, 2003		GROUP 2811
<b>U.S. PATENT DOCUMENTS</b>								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	12.	6,097,518	08/01/00	Wu et al	359	128		
	13.	6,208,444	03/27/01	Wong et al	359	127		
	14.	6,215,923	04/10/01	Li	385	24		
<b>FOREIGN PATENT DOCUMENTS</b>								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>								
EXAMINER				DATE CONSIDERED				

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.